

11-28-00

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PTO/SB/05 (08-00)

Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

KSU-189

First Inventor

Oleg Yaroshchuk

Title

Optical Compensation Film for Liquid Crystal Display

Express Mail Label No.

EL617150589US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 29]  
(preferred arrangement set forth below)  
-Descriptive title of the Invention  
-Cross Reference to Related Applications  
-Statement Regarding Fed sponsored R & D  
-Reference to sequence listing, a table,  
or a computer program listing appendix  
-Background of the Invention  
-Brief Summary of the Invention  
-Brief Description of the Drawings (if filed)  
-Detailed Description  
-Claim(s)  
-Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 10]
5. Oath or Declaration [Total Sheets 3]  
  - a. ☒ Unexecuted (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 17 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
signed statement attached deleting  
inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

- a. ☐ Computer Readable Form (CRF)

- b. Specification Sequence Listing on:

i. ☐ CD-ROM or CD-R (2 copies); orii. ☐ paper

- c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) statement ☐ Power of  
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure ☐ Copies of IDS  
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☒ Other: Check in the amount of \$355.00

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76:☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_

Group/Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under  
Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The  
incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**18. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Label

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or ☒ Correspondence address below

Name	Ray L. Weber				
	Renner, Kenner, Greive, Bobak, Taylor & Weber				
Address	16 <sup>th</sup> Floor, First National Tower				
City	Akron	State	OH	Zip Code	44308-1456
Country	US	Telephone	330-376-1242	Fax	330-376-9646

Name (Print/type)	Michael F. Morgan	Registration No. (Attorney/Agent)	42,906
Signature	<i>Michael F. Morgan</i>	Date	11-27-00

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# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

## Complete if Known

Application Number	
Filing Date	11/27/2000
First Named Inventor	Yaroshchuk, et al.
Examiner Name	
Group/Art Unit	
Attorney Docket No.	KSU-189

TOTAL AMOUNT OF PAYMENT (\$ 355.00)

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 18-0987

Deposit Account Name

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	355.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$)

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from Below	Fee Paid
17	-20**= 0	9	0
Independent Claims	3	-3**= 0	40
Multiple Dependent			

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$0)

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
Other fee (specify)					
Other fee (specify)					

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

Name (Print/Type)	Michael F. Morgan	Registration No. (Attorney/Agent)	42,906	Telephone	330-376-1242
Signature		Date	11-27-00		

WARNING: Information on this form may become public. Credit card information should not be Included on this form. Provide credit card information and authorization on PTO-2038.

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**STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(d))—NONPROFIT ORGANIZATION**Docket Number (Optional)  
**KSU-189**Applicant, ~~Patent Owner~~ **Jack Kelly, et al.**Application ~~Serial~~ **No.:**Filed ~~XXXXXX~~ **date:**Title: **Optical Compensation for Liquid Crystal Display**

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION **Kent State University**ADDRESS OF NONPROFIT ORGANIZATION **East Main and Lincoln Streets, Kent, OH 44242**

## TYPE OF NONPROFIT ORGANIZATION:

☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  
IF LOCATED IN THE UNITED STATES OF AMERICA☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED  
STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☐
- the specification filed herewith with title as listed above.
- 
- ☒
- the application identified above.
- 
- ☐
- the patent identified above.

I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☒
- no such person, concern, or organization exists.
- 
- ☐
- each such person, concern, or organization is listed below.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING **Walter Adams**TITLE IN ORGANIZATION OF PERSON SIGNING **Vice Provost and Dean of Research & Graduate Studies**ADDRESS OF PERSON SIGNING **East Main and Lincoln Streets Kent, OH 44242**SIGNATURE  DATE **8/3/01**

**RENNER, KENNER, GREIVE, BOBAK, TAYLOR & WEBER**

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REESE TAYLOR  
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\*Admitted in Pennsylvania

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MARK L. WEBER

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November 27, 2000  
Via Express Mail

TELEPHONE  
(440) 808-0011  
FACSIMILE  
(440) 808-0657

OF COUNSEL  
SYLVIA A. PETROSKY

TECHNICAL SPECIALIST  
TAMA L. DRENSKI

RETIRED  
JACK L. RENNER

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WASHINGTON, D.C. 20231**

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Laura A. Rehn  
(type or print name of person signing paper)

Laura A. Rehn  
(signature of person mailing paper)

11-27-00  
(date)

**TRANSMITTAL SHEET FOR PATENT APPLICATION**

Dear Sirs:

Transmitted herewith for filing under 35 U.S.C. §111(a) is a written application for a patent.

Express Mail No.: EL617150589US

Title: Optical Compensation Film for Liquid Crystal Display

Inventors: Oleg Yaroshchuk, Yuri Reznikov, Jack Kelly, Liang-Chy Chien, Tatiana Sergan

Docket No.: KSU-189

November 27, 2000  
page 2

Enclosed is:

Transmittal Letter with Certificate of Mailing and Authorization to Charge Deposit Account (2 pages - in duplicate)

Utility Patent Application Transmittal Sheet (1 page)

Fee Transmittal Sheet (1 page - in duplicate)

Print EFS Bibliographic Data Sheet

Combined Declaration and Power of Attorney (3 pages - unexecuted)

Specification:

<u>25</u>	pages of Description
<u>3</u>	pages of Claims
<u>1</u>	page of Abstract
<u>10</u>	pages of Drawings

Statement Claiming Small Entity Status

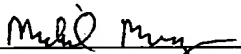
Check in the amount of \$355.00

Return Receipt Postcard

Authorization to Charge Deposit Account

In the event an additional fee is applicable to the filing of this document and the required fee is not enclosed, or the fee submitted is insufficient, the Commissioner is hereby authorized to charge any fees which might be required to effect the filing of this (these) document (s) to Account No. 18-0987. This authorization is being submitted in duplicate.

Respectfully submitted,

  
\_\_\_\_\_  
Ray L. Weber, Esq., Reg. No. 26,519  
Michael F. Morgan, Esq., Reg. No. 42,906  
RENNER, KENNER, GREIVE, BOBAK, TAYLOR & WEBER  
16<sup>th</sup> Floor, First National Tower  
Akron, Ohio 44308  
Telephone: (330) 376-1242  
Attorney for Applicants

11-27-00  
\_\_\_\_\_  
Date